

**MPR 1440.2
REVISION K**

**EFFECTIVE DATE: September 20, 2004
EXPIRATION DATE: September 20, 2009**

MARSHALL PROCEDURAL REQUIREMENTS

AD01

MSFC RECORDS MANAGEMENT PROGRAM

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DOCUMENT HISTORY LOG

| Status (Baseline/ Revision/ Canceled) | Document Revision | Effective Date | Description |
|--|----------------------|-------------------|--|
| Revision | F | 5/14/99 | History log added with this revision; previous history contained in Directives Manager's Reference File. Directive is being revised to update authorities/references and organizational titles, add section on emergency vital records, and remove detailed information more appropriate for a guide or handbook. |
| Revision | G | 8/16/99 | Updated to reflect recent MSFC reorganization and resulting changes in organizational codes and documentation numbers. |
| Revision | H | 12/16/99 | Revised to incorporate specific definitions, responsibilities, and procedures for quality records formerly contained in MPG 1441.1A, "Control of Quality Records." Qualified use of ink for purpose of record legibility (3.2.1.1). Added step to procedure for disposition of records transferred to Records Staging Area. Added statement on historical records to Appendix C. Added new design procedures records to Appendix A; updated appendix title; minor updates to Appendix B information. Added definition for data manager (1.2). Clarified some definitions (1.16, 1.21); responsibilities (2.4.1, 3.1.3, 3.3.4 & 3.3.5). Minor clarification to project records requirements (2.1, 2.2.1.3, 4.1.1) and Appendix D. Removed restrictive word "quality" from P.1, P.2, 2.7, 2.8, 2.9 and 4.d in keeping with DCB review comments/approval that official records include all records. |
| Revision | I | 5/29/01 | Revised to clarify and incorporate in Appendix A the changes required by new ISO standard: added "education" and "skills and experience" to training item; added "MPG 7100.1 and MPG 7120.1" to contract review item; added "Design inputs" as a type; added "Results of design validation and any necessary actions" as a type; added "MPG 1280.7" to records of validation of processes. Renumbered chapters/appendices to comply with MPG 1410.2. Appendix B: updated locations of vital records for RS and CD. P.2 editorial change. |
| Revision | J | 5/12/03 | P.4.a. & 1.23 Corrected title. 1.8, 1.13, & 1.16 Added clarification. 2.2 Organization name change. 2.2.4 Added new responsibility, ref. NPD 1440.6. 2.4.1 and 2.4.2 Clarified statement of responsibilities. 2.5 Corrected title of manager. 2.7 Spelled out acronym. 2.9 Revised wording to conform to latest ISO standard. 3.1.3 Removed redundant word and made editorial correction. CH3.1 Changed fallout shelters to EOC. Appendix B Improved format and incorporated changes requested by record owning organization. |
| Revision | K | 9/20/2004 | Reformatted to MPR as part of action 04-DA01-0387. Appendix D. D.1 Changed Information Systems Department to Office of the Chief Information Officer. |

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PREFACE

P.1 PURPOSE

This Marshall Procedural Requirements (MPR) implements the Records Management and Vital Records program at Marshall Space Flight Center (MSFC) and establishes the process for control of records necessary to ensure compliance with MPD 1280.1, “Marshall Management Manual.” It defines responsibilities for the identification, maintenance, and disposition of the Center’s NASA-owned records and applies to all records.

P.2 APPLICABILITY

This Directive is applicable to all MSFC organizational elements and personnel and to MSFC contractors who create and/or maintain records for MSFC. Records produced by a contractor within its own quality system and later supplied to MSFC as records for a project shall be governed by contract requirements.

P.3 AUTHORITY

- a. 36 CFR Chapter XII, Subchapter B, “Records Management”
- b. NPD 1440.6, “NASA Records Management”

P.4 APPLICABLE DOCUMENTS

- a. NPR 1441.1, “NASA Records Retention Schedules”
- b. MPD 1280.1, “Marshall Management Manual”
- c. MPR 1410.2, “Marshall Management Directives System”
- d. MPR 7120.3, “Data Management, Programs/Projects”

P.5 REFERENCES

None

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P.6 CANCELLATION

MPG 1440.2J dated May 12, 2003

Original signed by
Robin N. Henderson for

David A. King
Director

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DOCUMENT CONTENT

1. DEFINITIONS

1.1 Current files area. The office space where records are created or space is utilized by a central files unit which maintains records for an individual, office, or group of offices.

1.2 Data Manager. The person appointed, as defined in MPR 7120.3, to support a Program/Project Manager in the development and implementation of a specific program/project's data management.

1.3 Electronic records. Records that are stored in a form that only a computer can process (also called machine-readable).

1.4 Electronic record systems. Any information system that produces, processes, or stores records by using a computer.

1.5 Federal Records Center (FRC). A record storage facility operated by the National Archives and Records Administration (NARA) for housing and servicing noncurrent records of the Federal Government.

1.6 Files equipment. File cabinets, open-shelf filing equipment, card-file equipment, map and plan file equipment, and bookcase sections used for maintaining and servicing files.

1.7 Files supplies. Folders, guides, fasteners, labels, forms, and other related supplies used for maintaining and servicing files.

1.8 Historical records. Records retained onsite beyond their required retention period, for reference purposes, and so identified. The ultimate disposition of historical records is at the discretion of the holding organization.

1.9 Microfilming. The technique of producing miniature images on roll film.

1.10 MSFC Records Manager. The individual designated by the MSFC Director, as required by NPD 1440.6, who is responsible for overall administration of the MSFC records management program.

1.11 Non-record materials. Materials such as library and museum material made or acquired and preserved solely for reference or exhibition purposes; extra copies of documents preserved only for convenience of reference, such as reading and suspense copies; materials of short-term value such as drafts, working papers, and routing and transmittal sheets on which no documented administrative action has been taken; and stocks of publications and processed documents.

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1.12 Office of Primary Responsibility (OPR). The organization having the responsibility for the process/procedures for the delivery of the product or services to the customer. The OPR is responsible for identifying which records need to be generated and placed under control.

1.13 Official files. Any collection of NASA records (in any media) designated as a record-keeping location for transaction of official business.

1.14 Originator. Person or organization that creates the record.

1.15 Private (Personal) records. Personal papers or non-official records pertaining to an individual's personal affairs which are kept in the office of a Federal official.

1.16 Quality Records. A term sometimes used in the past for a subset of records to refer to specific documents cited in a procedure or work instruction which are maintained to demonstrate both MSFC conformance to specified requirements and the effective operation of the MSFC system.

1.17 Record copy. Usually the original of a record or the first-generation of the original which is maintained by the OPR in lieu of the original.

1.18 Record custodian. The individual who is responsible for collecting, indexing, accessing, filing, storing, maintaining, and dispositioning a record or collection of records.

1.19 Records. All documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.

1.20 Records Liaison Officer (RLO). An individual designated by the Director/Manager of basic organizations (and, optionally, departments) to assist the director/manager and/or program/project data manager of the organization in identifying, maintaining, and dispositioning records through records custodians.

1.21 Records Plan. An itemized list (or inventory) of all official records maintained by a record custodian at any given organizational level providing a brief description of record content, arrangement, disposition instructions, and disposal authority (MSFC Form 2441). The compilation of all custodians' plans within an organization comprise the organization's Records Plan.

1.22 Record series. A group of records that relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular form, or have some other relationship arising out of their creation, receipt, or use.

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1.23 Unscheduled records or files. Records or files that are not identified in NPR 1441.1, NASA Records Retention Schedules 1 through 10.

1.24 Vital records. “One of a kind” records that are essential to survival or reconstruction of Center facilities or to enable uninterrupted operation during an emergency. Vital records may be categorized as:

1.24.1 Emergency operating records. Records vital to carrying out the essential functions of MSFC and NASA for the duration of a national emergency. These include records such as those covering the mobilization and protection of material and personnel resources in support of a military effort; the continuation of essential services; and the preservation of critical scientific research and development and technological systems; and

1.24.2 Rights and interest records. Records essential to the preservation of the legal rights and interest of individuals in cases where MSFC is the statutory office of record, or where NASA records are the indispensable and exclusive source from which individuals may secure or preserve their rights and interests. These records include such groups as personnel retirement records, payroll records, insurance records, valuable research records and ideas, and potentially patentable materials submitted to MSFC by citizens.

2. RESPONSIBILITIES

2.1 The Center Director shall appoint a MSFC Records Manager (MRM). (Duties of the MRM are included in Chapter 1).

2.2 The Chief Information Officer (CIO), Office of the CIO, shall institute records management controls to ensure that:

2.2.1 Important policies and decisions are adequately preserved and the accumulation of unnecessary files is prevented.

2.2.2 Records are maintained economically and efficiently and in such a manner that their maximum usefulness is attained.

2.2.3 Records of continuing value are preserved and obsolete records are properly destroyed or retired.

2.2.4 Records management and archival functions are incorporated into the design, development, and implementation of information systems.

2.3 The Historian, Internal Relations & Communications Department, shall provide guidance on the disposition of unusual accumulations of documentary materials, personal files of officials,

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or specialized collections of NASA or non-NASA records that could be significant to establishing the basis of the history of NASA programs and projects conducted at MSFC.

2.4 Directors/Managers of Each MSFC Basic Organization shall implement the MSFC Records Management Program within their respective organizations and comply with the provisions of this Directive, to include:

2.4.1 Ensuring that a custodian is assigned for each official record or collection of records for which the organization is responsible.

2.4.2 Ensuring that custodians identify all records (Records Plans), and collect, appropriately maintain, and disposition them in accordance with NASA policies and procedures. (Specific responsibilities related to program/project records are included in Chapter 2.)

2.4.3 Furnishing the MRM by memorandum or e-mail, as of October 15 each year, the name, job title, and organizational element to which assigned of the appointed RLO for the organization. (Duties of the RLO are described in Chapter 1.)

2.4.4 Notifying the MRM in writing of changes in RLO appointments as they occur.

2.4.5 Designating qualified personnel as vital records managers who are responsible for identifying and designating vital records within their respective areas of responsibility.

2.4.6 Identifying and submitting listing and location of any organizational vital records to the MRM at least annually on October 15 and as changes occur.

2.4.7 Considering the potential historical significance of records and exercising particular attention to disposition of historical materials when program/project offices are discontinued.

2.5 Emergency Management Director shall designate and secure in shelters those vital records required by the Emergency Operations Center (EOC) personnel during the “in-shelter” phase of an emergency.

2.6 Director, Procurement Office, shall ensure that all contracts for which MSFC contractors generate and/or maintain NASA-owned records include the requirement that such records be managed and disposed of in accordance with this Directive and other applicable records regulations.

2.7 Office of Primary Responsibility (OPR) shall identify in its Organizational Issuances (OI's) the applicable records, retention schedules, disposition, and the organization(s) of records custodian(s) or a link (identification) to where this information is available. The retention schedules shall not conflict with NPR 1441.1, “NASA Records Retention Schedules.”

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2.8 The Originator shall create the records in accordance with Marshall Management Directives and OI's. Note: The originator of a record may also be the Record Custodian.

2.9 The Record Custodian shall establish and maintain documented procedures/instructions for controlling records. (These procedures/instructions may be included in the documents which identify a process and its applicable records. They do not have to be stand-alone documents on this topic.) These procedures/instructions shall be in conformance with any identification of the records in the organization's Records Plan. They shall include any applicable controls for storage, protection, retrieval, retention time, and disposition of records (including contractor records).

3. PROCEDURE

3.1 OPR Data Manager and/or RLO shall:

3.1.1 Document organization's Records Plan (MSFC Forms 2441 for each records location/custodian) and submit the plan to the MRM.

3.1.2 Maintain the currency of the Records Plan and assist records custodians in the disposition of inactive (noncurrent) records in accordance with NASA Records Retention Schedules (NPR 1441.1).

3.1.3 Identify in MSFC Marshall Management Directives and OI's the applicable records, retention schedules, disposition, and the organization(s) of record custodian(s) or a link (identification) to where this information is available. Appendix A is a minimum list of the types of records that shall be identified to maintain ISO registration.

3.1.3.1 NPR 1441.1, "NASA Records Retention Schedules," shall be used as the basis for retention standards. Work instructions shall specify the disposition of records that have passed their retention schedule (e.g., they may be dispositioned as historical records).

3.2 Originator shall:

3.2.1 Generate records in accordance with Marshall Management Directives and OI's. Ensure records are legible and complete.

3.2.1.1 Prepare hand-written records in dark, permanent ink; or, in accordance with the record media, in a manner that preserves the legibility of the record.

3.2.1.2 Ensure that correction marks on hand-written records are a simple, horizontal line drawn through the erroneous data. White-out shall not be acceptable.

3.2.2 Submit records to the record custodian upon completion, or keep them if the originator is also the record custodian.

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3.3 Record Custodian shall:

3.3.1 Maintain and control all identified records according to applicable directives and work instructions.

3.3.2 Maintain all active records for customer review.

3.3.3 Ensure that active records are appropriately filed and readily retrievable.

3.3.4 Disposition records in accordance with NPR 1441.1, MPR 1440.2, and organizational work instructions. Retire the records to a Federal Records Center when/as required. (Records retired to a Federal Records Center are maintained in accordance with 44 U.S.C. Chapter 21, 36 CFR Chapter 12, and National Archives and Records Administration procedures.)

3.3.5 Contact the MRM for assistance in dispositioning inactive records or handling of special records (Appendix C).

3.4 MSFC Records Manager shall ensure that records transferred to the MSFC Records Staging Area are dispositioned (retired/destroyed) in accordance with established NASA retention schedules.

4. RECORDS

4.1 The MRM shall maintain the approved organizational Records Plans in accordance with NPR 1441.1, NRRS 1/75E [1440]. Reference copies should be maintained by the respective organization RLO in accordance with the same disposition.

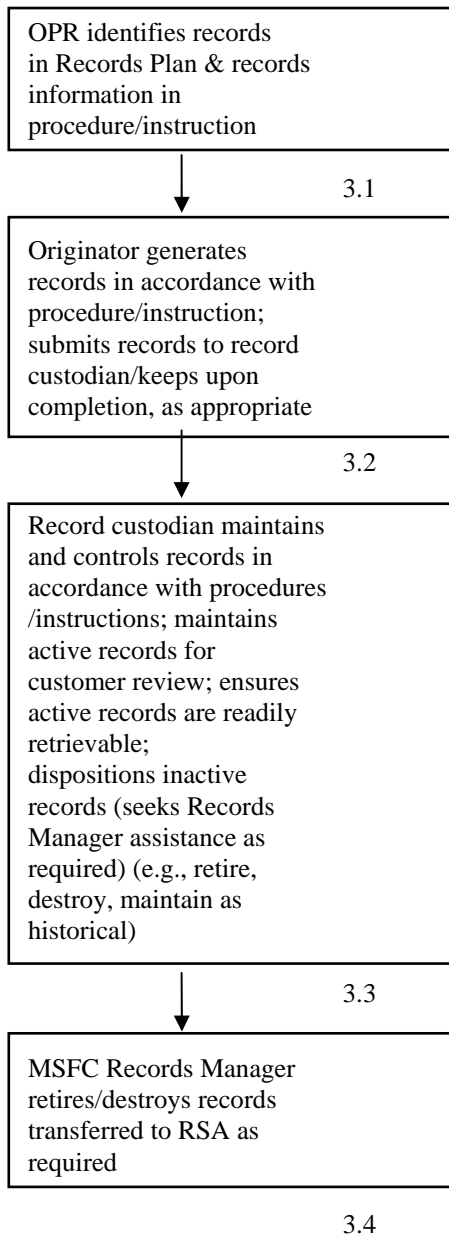
4.2 The MRM shall maintain the list of vital records and locations identified by MSFC vital records managers. Maintained in accordance with NPR 1441.1, NRRS 1/75C [1440].

4.3 The MRM shall maintain a list of organizational-appointed RLO's in accordance with NPR 1441.1, NRRS 1/75C [1440].

4.4 The Marshall Management Directives and organizational issuances shall identify the applicable records, retention schedules, disposition, and the organization(s) of record custodian(s) or a link (identification) to where this information is available. Directives shall be retained in accordance with MPR 1410.2, "Marshall Management Directives System." Organizational issuances shall be retained in accordance with the retention specified in each organization's document control work instruction(s).

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5. FLOW DIAGRAM



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CHAPTER 1 DUTIES OF RECORDS OFFICIALS

CH1.1 MSFC Records Manager (MRM) shall be responsible for overall administration of the MSFC records management program to include:

CH1.1.1 Reviewing, concurring, and maintaining current Records Plans (MSFC Form 2441).

CH1.1.2 Conducting surveys and preparing reports as required by higher echelons.

CH1.1.3 Providing technical assistance and on-the-job assistance in records management.

CH1.1.4 Coordinating periodic inspections, self-reviews, and audits of the records management program as required by higher authority.

CH1.1.5 Maintaining the Records Staging Area (RSA) for the maintenance, retrieval, and disposition of inactive records (Appendix C).

CH1.1.6 Coordinating overall responsibility for the operation of the vital records program.

CH1.2 Records Liaison Officers (RLO's) shall be responsible for:

CH1.2.1 Maintaining cognizance of all Record Custodians identified by the organization, including their assigned responsibilities.

CH1.2.2 Establishing, in coordination with the organization director/manager and/or data manager, a current Records Plan that reflects all records for which the organization is responsible and ensuring that the plan is maintained and revised by each records-keeping office within the organization, geared to its needs, and compatible with this Directive.

CH1.2.3 Forwarding initial and/or revised Records Plan(s) to the MRM for concurrence.

CH1.2.4 Consolidating information for feeder reports on records management matters and forwarding the consolidated report to the MRM as required by NASA Headquarters or MSFC management.

CH1.2.5 Ensuring that organizational records are reviewed and dispositioned as scheduled and that only those records necessary for effective work accomplishment are being retained.

CH1.2.6 Providing liaison, assistance, and instruction in the records management activities of the organization to Record Custodians and managers as required.

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CH1.3 Record Custodians (RC's) shall be responsible for maintaining and furnishing information from the records assigned to them. Specific responsibilities include:

CH1.3.1 Keeping current on the records management regulations and procedures and on the functions of records-keeping offices.

CH1.3.2 Maintaining an up-to-date Records Plan.

CH1.3.3 Properly identifying, arranging, and disposing of records.

CH1.3.4 Reviewing assigned records at least annually to ensure that only necessary records are being retained.

CH1.3.5 Coordinating records problems with the RLO or the MRM.

CH1.3.6 Establishing and maintaining documented procedures/instructions for controlling records (may be included in the applicable procedural document) in conformance with identification of records in the organization's Records Plan.

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CHAPTER 2

PROGRAM FORMULATION AND MANAGEMENT RECORDS/CASE FILES

CH2.1 General Requirements

CH2.1.1 All MSFC organizations that create or receive records that reflect the conduct of their mission shall maintain them as Administrative or Program records in accordance with NASA regulations and procedures. Directors/managers of organizations responsible for the planning, management, operation and performance of research and development (R&D) programs/projects, and the management and operation of facilities shall ensure that records are maintained to reflect a clear and complete history of each MSFC project from initiation through research, development, design, and testing, to completion. In most cases, the project manager does not maintain the complete official record copies, the project case file, within their office but relies on a decentralized functional records system for the project. The decentralized system requires that record files shall be maintained by the organizational element (Office of Primary Responsibility, or OPR) performing the function, in accordance with the program/project records requirements and Data Management Plan, thereby ensuring proper documentation in each field of endeavor.

CH2.1.2 Project case files shall be maintained in a manner to be readily adaptable for use and so that, upon completion or cancellation of the project, the designated offices of record shall have readily implemented guidelines for disposition of records in their custody.

CH2.2 Responsibilities and Procedures

CH2.2.1 Each MSFC Program/Project Manager shall:

CH2.2.1.1 Determine, as part of the Data Management Plan or a link thereto, the records that comprise the project case file and the responsibilities for maintaining them.

CH2.2.1.2 Coordinate the establishment and maintenance of these records/files with the cognizant organizational element and the MRM.

CH2.2.1.3 Appoint a Data Manager responsible for coordination of records management activities with the respective RLO(s), or otherwise provide the RLO(s) (and records custodians) the technical assistance required to appropriately plan the identification and disposition of all records for which the program/project is responsible.

CH2.2.2 Each Director/Manager of Other MSFC Basic Organizations shall:

CH2.2.2.1 Ensure complete documentation (in the organization's Records Plan) and proper maintenance and disposition of all portions of the project case file assigned to their organization.

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CH2.2.2.2 Ensure that applicable portions of the project case file are established, identified, labeled, and maintained within the organization.

CH2.2.2.3 In coordination with the program/project Data Manager and the RLO, develop project case file plans in accordance with the Data Management Plan requirements (MPR 7120.3) and forward a copy of the initial plan, with any revisions thereto, to the MRM immediately after initiation of a project. This plan shall show in detail the specific records to be retained for each project and shall identify the organization/custodian responsible for such records.

CH2.2.3 The MRM, through the Data Manager and the RLO assigned to various projects, shall:

CH2.2.3.1 Assist the program or project office in determining the organizational location and establishment of specific portions of the case file and review records maintenance and disposition as necessary.

CH2.2.3.2 Assist in the project case file planning.

CH2.2.3.3 Assist in the consolidation of project case files material and arrange for storage and retirement of files upon completion or cancellation of the project.

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CHAPTER 3 EMERGENCY VITAL RECORDS

CH3.1 General Requirements

The possibility that the Center may be involved in a disaster requires that a program be implemented and constantly updated for the identification, selection, and preservation of MSFC's vital records. To accomplish this, the directors/managers of basic organizations shall identify and select their vital records and store them as follows: Emergency Operating Records and most Rights and Interest Records which may be needed after the emergency shall be stored in EOC.

CH3.2 Selection Criteria

The following shall be considered in selecting records for inclusion in the vital records program:

CH3.2.1 The impact of the total loss of the record on the ability of the activity to be reconstituted and to resume operations;

CH3.2.2 Whether the document contains information that would not be available in other files outside of the laboratory or office that considers it vital (a library, another building, Documentation Repository); and

CH3.2.3 Whether there is a specific planned need for the record during or immediately following the emergency.

CH3.3 Maintenance and Storage

Based upon the anticipated need, the responsible vital record manager shall determine the form that the record has to be in while in storage and where it is to be stored to make it available to meet the anticipated need. This determination is essential since the time that the document will be needed determines the form that it shall be in while in storage. Computers, microfilm readers, and printers may not be immediately available during an emergency; therefore, "quick reaction" records should, in most cases, be in printed or hard copy form.

CH3.4 Identification and Location of Vital Records

Appendix B to this Directive is a current listing of vital records based on input from basic organizations. Records which are considered vital and are not listed in Appendix B shall be reported to the MSFC Records Manager.

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CHAPTER 4 RECORDS IDENTIFICATION, COLLECTION, MAINTENANCE, AND DISPOSITION

CH4.1 Records Management System

CH4.1.1 MSFC shall operate under a decentralized numerical functional files system; record files are located in the organizational element performing the function to which the records relate, unless designated otherwise by the program/project Data Management Plan. Local electronic file systems shall be authorized provided the objectives of the records management program are maintained and the systems comply with NASA and NARA regulations. Other records management systems are not authorized.

CH4.1.2 All record files (including files classified through SECRET) shall be arranged as prescribed under the Agency Filing Scheme (AFS), formerly known as the Uniform Files Index (UFI), which is related to the NASA Records Retention Schedules. Files shall be divided by primary subject identification numbers and further categorized by secondary and tertiary subdivisions as required.

CH4.2 Records Plan

CH4.2.1 A Records Plan shall be prepared and maintained by each records-keeping organizational element. All scheduled files (record and non-record) shall be listed. It shall be mandatory that all OPR record copy files be listed. The plan shall show the description, arrangement, disposition instructions, and disposal authority. The plan shall be approved by the manager/director of the organizational element and submitted through the RLO to the MRM for review and concurrence to ensure that all scheduled files comply with established regulations and standards. The MRM shall return a copy to the originating office. The plan shall be maintained current at all times; as revisions are made, they shall be forwarded to the MRM.

CH4.2.2 Records/files found in operating offices for which there are no approved disposition standards (unscheduled files) shall also be included in the Records Plan. These records shall be reported to the MRM for coordination of an appropriate disposition through the NASA Records Officer.

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APPENDIX A

MINIMUM LIST OF TYPES OF RECORDS REQUIRED TO MAINTAIN ISO REGISTRATION

| Types of Quality System Records | Reference Procedure |
|---|--|
| Management Review minutes/records | MPR 1280.1 |
| Records of education, training, skills, and experience | MPR 3410.1 |
| Evidence that the realization processes and resulting product fulfill requirements | MPR 8730.1, MPR 8730.2 |
| Positive recall records | MPR 8730.1 |
| Records of the results of contract review and actions arising from the review | MPR 1050.1, MPR 7100.1, MPR 7120.1 |
| Design inputs | MPR 8060.1, MPR 8060.2, MPR 8823.1 |
| Results of design reviews and any necessary actions | MPR 8060.1, MPR 8060.2, MPR 8823.1 |
| Results of design verification and any necessary actions | MPR 8060.1, MPR 8060.2, MPR 8823.1 |
| Results of design validation and any necessary actions | MPR 8060.1, MPR 8060.2, MPR 8823.1 |
| Results of the review of design changes and any necessary actions | MPR 8060.1, MPR 8060.2, MPR 8823.1 |
| Results of supplier evaluations and any necessary actions | MPR 5000.1 |
| Records of validation of processes for production and service provision | MPR 1280.2, MPR 1280.7 |
| Records of unique identification of product where traceability is a requirement | MPR 8040.2 |
| Reports to customers of customer property which is lost, damaged, or found unsuitable for use | MPR 4000.1 |
| Records of the results of calibrations and verifications | MPR 8730.5 |
| Internal audit records, including an audit schedule, audit results, and follow-up activities | MPR 1280.6 |
| Records of the inspection authority responsible for release of the product | MPR 8730.1, MPR 8730.2 |
| Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained | MPR 8730.3 |
| Results of the investigation of the cause of nonconformities relating to product, process, and the quality system | MPR 1280.4 |
| Records of the results of corrective actions taken | MPR 1280.4 |
| Records of the results of preventive actions taken | MPR 1280.4, MWI 1280.3, MWI 1280.5, MWI 7120.6 |

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APPENDIX B IDENTIFICATION AND LOCATION OF VITAL RECORDS

| Type Records | Organization Responsible for File Source | Present Location (Bldg # and Room # |
|---|--|--|
| 1. General (Administration & Management) | | |
| NASA-MSFC Personnel Regulations | CD10 | *Building 4200, Room 321 |
| Emergency Plans & Procedures | AD62 | *Building 4202, Room B-104 |
| Telephone Books (MSFC, Local Army, & Huntsville) | AD30 | *Building 4207, Room B-4 |
| List of maps & documents of MSFC real property | AD21 | *Building 4250, Rooms 74 & 77 |
| NEMS Control Backup Documentation | AD41 | *Building 4471, Room 211 |
| Invention Disclosures | CD30 | *Building 4732, Room 227-12 |
| Administration of Contract Patent Clauses | LS01 | Building 4200, Room 149 |
| | | |
| 2. Budget and Fiscal | | |
| List of Authorized Financial Certifying Officials | RS30 | *Building 4200, Room 730A |
| Master Employee Record *** | RS10 | *Building 4200, Room 612 |
| | | |
| 3. Personnel | | |
| Personnel Manuals and Policies | CD10 | *Building 4200, Room 321 |
| Personnel Service Records | CD10 | *Building 4200, Room 320 |
| Employee Insurance | CD10 | *Building 4200, Room 324A |
| Alphabetical by Employee & Summary by Laboratory/Office | CD02 | **Building 4202, Room 204A |
| | | |
| 4. Industrial | | |
| Real Property Records | AD21 | *Building 4250, Room 78 |
| | MP31, MAF | Building 320, Room 238 |
| | | |
| 5. Security | | |
| Personnel Security Clearance Case Files | AD50 | *Building 4200, Room 222 |
| Identification Control Files (Non-NASA Personnel (Card File)) | AD50 | *Building 4312 |
| Report of Investigation on Claims, Misconduct, or Fraud | AD50 | *Building 4200, Room 222 |

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| | | |
|--|-------|---|
| Personnel Reliability & Limited Area Program | AD50 | *Building 4200 |
| | | |
| 6. Engineering & Technical | | |
| R&D Engineering Drawings | AD34D | *Federal Records Center, East Point, GA |
| Shuttle Master PCIN Change Files | MP71 | *USA Facility 555 Discovery Dr., Room 127A |
| | | |
| * This location shall serve as Vital Records File | | |
| ** One copy shall be furnished to MSFC Records Manager for filing in Building 4465 | | |
| *** Records are stored electronically | | |
| | | |

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APPENDIX C DISPOSITION OF FILES

C.1 WILLFUL AND UNLAWFUL HANDLING OF RECORDS

The penalties for the willful and unlawful handling, destruction, damage or alienation of Federal records are contained in Chapter 101, 18 U.S.C., section 2071.

C.2 EMERGENCY AUTHORIZATION FOR THE DISPOSAL OF RECORDS

Section 10 of the Records Disposal Act (44 U.S.C., section 3310) authorizes disposal whenever it is determined that records constitute a continuing menace to human health or life or to property. Prior to disposal of Federal records, due to menace to human health or life or to property, approval shall be obtained from National Archives and Records Administration, Washington, DC.

C.3 TRANSFER OF CUSTODY OF RECORDS

a. No records shall be transferred from one executive agency to the custody of another without the prior written approval of the National Archives and Records Administration, except:

- (1) When records are transferred to the Federal Records Centers or the National Archives in accordance with governing regulations.
- (2) When records are loaned for official use.
- (3) When the transfer of records or functions, or both, is required by statute, Executive Order, or Presidential reorganization plan, or by specific determinations made there under. Transfer of records within NASA shall be accomplished with an interagency transfer letter coordinated through the NASA Records Officer.

b. Any proposed transfer of records either to or from this Center shall be coordinated with the MSFC Records Manager.

C.4 TRANSFER OF FILES TO RECORDS STAGING AREA

All files (classified and unclassified) identified in NASA Records Retention Schedules 1 through 10 shall be cut off and disposed of in the current files area or transferred to the MSFC Records Staging Area (MSFC Form 578, Records Transfer List). Disposition standards contained in the paragraph of the schedule describing the file shall be effected except as indicated in paragraphs 5 and 6 below.

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C.5 RETIREMENT OF FILES TO FEDERAL RECORDS CENTERS

Files eligible for retirement to records centers shall be retired through the Records Staging Area, except for certain personnel records which are retired directly from current files areas.

C.6 DISPOSITION OF TOP SECRET FILES

Files classified TOP SECRET shall not be transferred to the Records Staging Area. Such files shall be retained in the current files area until downgraded, and then disposition effected in accordance with applicable NASA Records Retention Schedules.

C.7 DISPOSITION OF UNSCHEDULED FILES

Until disposition standards are obtained, unscheduled files shall be treated as permanent files. They shall be cut off and retired in accordance with paragraph 8. Record owner shall be responsible for initiating request for establishment of disposition authority prior to transfer of records from organization.

C.8 FILES CUTOFF

Records shall be cut off at the end of the calendar or fiscal year, as applicable, and a new series begun.

a. Case files shall be cut off upon completion of project. Certain contract records, for example, shall be removed from the current file when final shipment under the contract is received; others shall be removed and transferred to the inactive file when final payment is made. Other records, such as personnel folders, shall be removed from the current files upon the occurrence of a particular event; e.g., when an individual is transferred or separated.

b. Cutoff records shall be held in an inactive status until they are eligible for transfer or destruction.

c. Inactive records shall be transferred to lower drawers or other less convenient storage to conserve office space. Sometimes it is necessary to remove material from inactive files and bring it forward to the current files to complete documentation of a continuing transaction.

C.9 HISTORICAL RECORDS

The disposition and use of records that are retained onsite for reference purposes beyond their required retention period shall be the responsibility of the holding organization manager and record custodian. If the established retention time is deemed inappropriate, the holding organizational Records Liaison Officer and record custodian shall work with the MSFC Records Manager to propose a new or changed retention schedule to be coordinated with the NASA Records Officer in accordance with NPR 1441.1.

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APPENDIX D RECORDS STAGING AREA

D.1 OPERATION

A Records Staging Area (RSA) has been established at MSFC to provide facilities for the economical maintenance of inactive files, pending destruction or retirement to a Federal Records Center. The records shall be maintained and processed, and reference services shall be provided by records management personnel of the Office of the Chief Information Officer.

D.2 REFERENCE SERVICE

Procedures for information or loan of files stored in the staging area are outlined below:

- (1) Access to records stored in the RSA shall be granted only in accordance with authorization by the responsible individual in the organization owning the record(s).
- (2) Routine requests to the MRM for information from stored records shall be made by telephone, if possible.
- (3) Written extracts from records or copies of documents shall not be furnished. Any reproduction of records shall be made by the requesting office.
- (4) Files shall be loaned for definite periods of time, normally not to exceed 30 days unless arranged otherwise with the MRM. Offices requesting the records shall furnish the following information:
 - (a) The office designation, building number, telephone number, and name of the individual requesting the records.
 - (b) Complete identification of the records requested, including the date.
 - (c) Rack number indicated on the MSFC Form 578.
 - (d) Whether the records is to be transmitted through regular mail or whether a messenger is to hand-carry the records.